

# 2015 AZ LSTA Grant Guidelines



**Arizona State Library, Archives  
and Public Records, a division of  
the Arizona Secretary of State**

**For library projects from  
May 20, 2015 to August 1, 2016**

# General Grant Instructions

## Getting Started

- Begin by identifying the change (outcome) your project will make in your community (target audience).
- Review the LSTA Five Year Plan, which can be found on <http://www.azlibrary.gov/libdev/funding/lsta> and determine into which grant category (Learning, Community and Collections) your project best fits.
- Call the appropriate Arizona State Library consultant and discuss your project. Call your county librarian or library director to explain your project, checking to see if it overlaps with other county projects and how it fits into the library's and the county's plans.
- The online application is available at <http://www.azlibrary.gov/libdev/funding/lsta>

## Deadlines and Timetable

The online application must be submitted by midnight on March 9, 2015 (after which time the forms will not be available). The Certification of Application with original signature, and any paper attachments, must be mailed and postmarked by March 9, 2015.

• March 9, 2015	2015 LSTA application electronically submitted and/or postmarked
• May 1, 2015	Grant awards announced
• May 20, 2015	Grant funds available
• May 20, 2015	Grant recipients workshop
• August 1, 2016	2015 LSTA projects completed; funds fully encumbered
• September 2, 2016	2015 LSTA final reports due; funds fully expended

## LSTA Statewide Five-Year Plan

The State Library staff, with the assistance of outside consultants, focus groups and librarian input, developed the 2013-17 LSTA Five Year Plan. Grant proposals must address the goals and needs outlined in the plan. Please review the LSTA Five-Year Plan, on the State Library's Web site at <http://www.azlibrary.gov/libdev/funding/lsta>

## Outcomes, Activities and Evaluation



*Outcome:*

*"Not how many worms  
the bird feeds its young,  
but how well the fledging flies."  
~ United Way of America*

These items have been grouped together in the Project Narrative. Begin by writing clear, concise, and measurable outcomes. Outcomes should be a desired change or improvement in the target audiences' skills, attitudes, knowledge, behaviors, status or life conditions. Activities should be designed to bring about the desired change. Incorporate the evaluation throughout the project, not just as an add-on at the end. You may present this information as a narrative, as a chart, or as both.

Outcomes, not just outputs, are important to IMLS. You'll find more information at: [http://www.imls.gov/applicants/outcome\\_based\\_evaluations.aspx](http://www.imls.gov/applicants/outcome_based_evaluations.aspx). You may find the IMLS-Funded Web site <http://www.shapingoutcomes.org/course> helpful.

## Partnerships

Libraries are encouraged to partner with other organizations when applying for LSTA funds. Libraries should consider partnering with museums, archives, cultural institutions, schools, tribal and governmental entities, social service agencies, local businesses and other organizations.

All partners must benefit from the project, and those benefits should be clear in the application. The library must serve as the applicant, and assume fiscal responsibility, if the grant is awarded. Be sure that all potential partners have been contacted before including them in the grant proposal. Include a letter of support from each partner.

# General Grant Instructions

## New and Continuing Projects

LSTA funds are primarily targeted for new projects that serve as models or pilots. Libraries may apply for subsequent phases of a project that is underway. Libraries may also apply for funding of an ongoing project if it reaches new audiences, incorporates new methodologies or significantly expands the reach of the project, throughout the project, not just as an add-on at the end.

## Children's Internet Protection Act (CIPA)

Public and school libraries must certify that they are CIPA compliant before receiving 2015 LSTA funds to purchase computers to access the Internet or to pay for the direct cost associated with accessing the Internet. If funded, you will certify this on a form sent to you by the State Library. For more information about CIPA, go to <http://www.ala.org/advocacy/advleg/federallegislation/cipa/>.

## Budget Considerations

LSTA funds may be used for many project costs. However, funds may not be used for existing staff salaries and benefits, administrative fees, indirect costs, food or entertainment, or construction. See page 8 of this document for a list of allowable and unallowable costs. While LSTA funds can't support a project that is primarily marketing, applicants are encouraged to include costs to promote and market their LSTA project. Only large items costing more than \$5,000 should be budgeted as equipment; all other items should be listed as supplies. Travel and per diem expenses may be included only for project personnel at the rate authorized by the State. The 2015 authorized rates are available in [Supplement I: Maximum Mileage, Lodging and Meal Reimbursements](https://gao.az.gov/travel/travel-information) on <https://gao.az.gov/travel/travel-information>

The total budget should reflect the costs for the project outlined in the application. Local funds, whether in-kind or cash, are encouraged but not required. Documenting that LSTA leverages local funds is important to IMLS in justifying the program to Congress.

## Limited English Proficiency Guidelines

Federal regulations require that grant recipients take reasonable steps to ensure meaningful access to the information, programs, and services they provide to people with limited English proficiency. Please consider language assistance services, if appropriate, when designing your project.

## Completing the Application Form

Go to <http://www.azlibrary.gov/libdev/funding/lsta> for the link to the online application

A complete application consists of:

- Cover sheet
- Project narrative
- Budget form
- Certification of Application form
- Support letters from project partners
- Brief resume from paid project consultants
- No more than two, brief additional attachments

Complete the cover sheet, project narrative and budget form online. Mail a copy of the application including the narrative, budget, the Certification of Application and any support letters and resumes to the address below. Materials must be postmarked by March 9, 2015.

Send the materials to: Grants Consultant, Arizona State Library, 1101 W. Washington St, Phoenix 85007.

# AZ LSTA Eligibility Policy

To be eligible to receive LSTA funds in Arizona, all libraries must meet the following criteria:

- Be open to the public at least 750 hours per year, with regular, posted hours.
- Provide core library services, such as borrowing privileges and computer use, free of charge to all residents within the library's service area. A school or academic library may define its service area as its academic community.

A library must meet all criteria for one of the following:

## Academic Libraries

- Serve a public college or university.
- Agree to:
  1. Provide materials to other Arizona public, regent, or community college members with postage charges capped at \$6 per item.
  2. Write and publish a detailed Resource Access and Attainment Policy, and provide an electronic copy to the Arizona State Library each time the policy is updated.
- Submit to the State Library all reports in a complete, accurate and timely manner.

Limitations: LSTA-funded projects must directly serve the general public.

## Public Libraries

- Receive a minimum of 50 percent of funding from public sources OR be organized as a non-profit.
- Agree to:
  1. Work with patrons, at no charge, to locate materials.
  2. Provide specific information on attaining material. Patrons may be offered several options to attain material including: patron purchase of low-cost materials; library purchase of materials; database and web sources; and inter-library loan (ILL).
  3. When materials can only be attained through ILL, offer to secure the loan for the patron. With prior notice to patrons, postage costs for materials sent to any and from any library will be capped at \$6 per item, and fees charged by non-Arizona public, regent or community college libraries, may be passed on to the patron; no other fees or charges may be passed on to the patron. Libraries may limit ILL requests to six per patron at any one time and may limit requests to print materials published more than one year ago; not currently on a nationally recognized best-seller list; or not needed by the library's own patrons. The sharing of circulating non-print materials is encouraged, but not required.
  4. Write and publish a detailed Resource Access and Attainment Policy, and provide an electronic copy to the Arizona State Library each time the policy is updated.
- Submit to the State Library annual public library statistics and all other reports in a complete, accurate and timely manner.
- Demonstrate an ability to provide quality virtual information to library patrons.

## School Libraries

- Serve a public or charter school in Arizona.
- Participate in resource sharing with other school libraries in the same school district.
- Be managed by a certificated school librarian.
- Submit to the State Library all reports in a complete, accurate and timely manner.

Limitations: LSTA-funded projects must directly serve the general public.

## Special Libraries

- Serve as a library for a governmental unit or non-profit organization.
- Upon library request, loan materials to Arizona libraries at no charge.
- Be managed by a librarian with an MLS or Arizona Library Certification.
- Provide services to Arizona residents.
- Submit to the State Library all reports in a complete, accurate and timely manner.

Limitations: LSTA-funded projects must directly serve the public.

## Tribal Libraries

- Be recognized and supported by a tribal government in Arizona.
- Submit to the State Library annual library statistics and all other reports in a complete, accurate and timely manner.
- Demonstrate an ability to provide quality virtual information to patrons.

# Collections Grants:

Collections projects support exemplary stewardship of library collections in a variety of formats; as well as facilitate access to, discovery of, and use of those collections.

## Program and Activity Ideas:

- Access to eBooks
- Periodical and Reference Databases
- Materials for the Visually Impaired or Those with Other Disabilities
- Arizona Memory Project Projects
- Arizona Governmental Publications
- Online Job and Career Materials
- Print Materials for Tribal and Rural Libraries
- Other Materials

## Collections Grants should address these LSTA priorities:

- Establish or enhance electronic and other linkages and improve coordination among and between libraries and entities for the purpose of improving the quality of and access to library and information services.
- Develop library services that provide all users access to information through local, state, regional, national and international collaborations and networks.



Arizona Historical Society - Rio Colorado collections in the Heritage Library branch of the Yuma County Library District

## As you plan:

1. Who is the audience for your collection project?
2. Why would this audience benefit from having access to this collection?
3. What formats would best serve the audience?
4. How many people will use this collection in the format you have selected?
5. Have you considered alternative formats for those who may have a visual impairment or other disability?
6. How will you know if you were successful?
7. How will you measure that success?

For help with Collections Grants, contact Mary Villegas, [mvillegas@azlibrary.gov](mailto:mvillegas@azlibrary.gov)  
602-926-3600



**Community Grants:** Community projects position libraries as forward-looking community anchors that address diverse needs, including human services, employment and economic development, and civic engagement.

## Program and Activity Ideas:

- Job Assistance and Training Programs
- Small Business Development
- Community Referral Programs
- Civic Engagement Programs
- Legal Information Programs
- Other Programming

### Community Grants should address these LSTA priorities:

- Develop public and private partnerships with other agencies and community-based organizations.
- Target library services to individuals of diverse geographic, cultural, and socioeconomic backgrounds, to individuals with disabilities, and to individuals with limited functional literacy or information skills.
- Target library and information services to persons having difficulty using a library and to underserved urban and rural communities including children from families with incomes below the poverty line.

### As you plan:

1. What community need are you targeting with this project?
2. How do you know this is a community need?
3. How will you address this need?
4. How will community members benefit as a result of the project?
5. How will you know if you were successful?
6. How will you measure that success?

For help with Community Grants, contact Dale Savage,  
[dsavage@azlibrary.gov](mailto:dsavage@azlibrary.gov)  
602-926-3988



Journey Stories local exhibit at the Patagonia Public Library

# Learning Grants:

Learning projects place the learner at the center of any initiative, and support lifelong learning and literacy, to assist Arizonans to fully participate in their local communities and the global society.

## Program and Activity Ideas:

- Early Literacy Programs
- Youth and Adult Reading Programs
- Information Literacy Classes & Resources
- Programming for Youth and Adults
- Other Programming

## Learning Grants should address these LSTA priorities:

- Expand services for learning and access to information and educational resources in a variety of formats, in all types of libraries, for individuals of all ages in order to support such individuals' needs for education, lifelong learning, workforce development, and digital literacy skills.
- Target library services to individuals of diverse geographic, cultural, and socioeconomic backgrounds, to individuals with disabilities, and to individuals with limited functional literacy or information skills.
- Target library and information services to persons having difficulty using a library and to underserved urban and rural communities including children from families with incomes below the poverty line.

## As you plan:

1. Who are the learners you are targeting with this project?
2. Why did you choose this group of learners?
3. What do you want them to learn?
4. What do you want them to do with this knowledge?
5. How will you know if you were successful?
6. How will you measure that success?

For help with Learning Grants,  
contact Donna Throckmorton,  
[dthrockmorton@azlibrary.gov](mailto:dthrockmorton@azlibrary.gov)  
602-926-3369



Reading Buddies Plus! program at the Scottsdale Public Library

# Application Worksheet

Answer all parts of these questions in a narrative of up to five pages. Upload the file into your online application.

## 1. Project Summary

Briefly describe the project, by completing the following: The goal of this project is \_\_\_\_; Funds will be used to \_\_\_\_; Community members will benefit because \_\_\_\_\_. Limit your response to 120 words. Lengthier summaries will be rejected.

## 2. Project Description:

- What will you do, and how will you do it? Give specific information about the types of activities, number of programs, or resources you'll make available.
- What role will each of the institutional partners play? Include a letter of support from each institutional partner.
- How will the general public participate or use this product? Who will participate, and how many will directly participate in the first year? How will you publicize this activity or product?

## 3. Justification:

- What community need or opportunity does your project address? How do you know this is a need? Why is this project the best approach?
- What audiences are you targeting with this project and why?
- How does this project relate to your library's mission or other plans (such as a technology plan)? What steps has your library taken to prepare for this project? If successful, will you continue this project once the grant period has ended? If so, how will you sustain it?

## 4. Outcomes /Activities/Evaluation:

Your project may have one or more outcomes. For each outcome, provide the following information. If you prefer, you may present this as a chart or matrix. For more information, see the section "Outcomes, Activities and Evaluation" in the General Grant Instructions section.

- What specific change do you intend to achieve with this project? Briefly explain why you have selected this outcome, tying it to the justification provided.
- List at least one product or activity that will help you meet the outcome. All products and activities that are a part of your project should be linked to an outcome.
- Describe what tool(s) or method(s) you will use to evaluate each product or activity listed. Examples include pre- and post-assessments, surveys, benchmarks, and observations.

## 5. Project Personnel:

- Provide a list of the names of project personnel, the organization they represent and their title, and a description of their duties for this project.
- Identify the project director, and explain why he or she is appropriate for this project.
- If special skills or expertise are necessary for a participant, briefly list his or her qualifications. Provide a brief resume for any consultant for whom you are requesting LSTA funds.

## 6. Timeline/Schedule of Activities:

- What are the major steps you'll take to reach the outcomes you've listed? Provide a timeline that includes planning, implementation and evaluation, and indicates when funds will be spent. Remember, funds are not available before May 20, 2015, and must be spent by August 1, 2016.
- Provide specifics about each public program activity, including the date and location.

## 7. Budget Justification:

Provide a detailed explanation and justification of the proposed LSTA expenditures. Quotes, estimates, mileage, and other methods of calculating budget items should be detailed.

## 8. Budget Form:

- Complete the budget form for the project described in this application.
- In-kind services or funds are not required, but are encouraged.



# Grant Administration Guidelines

## Grant Guidance

Library Services and Technology Act (LSTA) grant funds are provided by the Institute of Museum and Library Services (IMLS), through the Arizona State Library. The grantee assumes the legal responsibility of administering the grant in accordance with the LSTA statutory and regulatory requirements, and the Arizona Revised Statutes. The award is based on the approved grant proposal and budget. The award letter provides notification.

## Allowable and Unallowable Costs

Most costs necessary and reasonable for the proper and efficient administration of a grant project are allowable costs that **may be proposed** as budget items in an LSTA grant application. Grant funds may be expended for the items identified as allowable costs in 2 CFR 225 "Cost Principles for State, Local, and Indian Tribal Governments," 2 CFR 220 (for Educational Institutions), and 2 CFR 230 (for Non-Profit Organizations).

The following costs are unallowable and **may not be proposed** as grant project costs:

- \* Administration fees
- \* Bad debts
- \* Construction
- \* Contingencies
- \* Contributions and donations
- \* Entertainment / Performances
- \* Fines and penalties
- \* Food
- \* Interest and other financial costs
- \* Staff salaries and benefits
- \* Under recovery of costs under grant agreements (excess costs for one grant application is not chargeable to another grant application)
- \* Gifts, models, souvenirs

## Requesting Funds

Funds must be requested between May 20, 2015, and August 1, 2016.

## Travel Costs

Travel and per diem expenses are allowable costs for project personnel only. A subgrantee must reimburse staff travel and per diem at the rate authorized by the State (See Budget Considerations on page 2).

## Interest on Grant Funds

DO NOT put your Federal LSTA funds into interest-bearing accounts, savings accounts or investment-type funds. If interest is earned on LSTA grant funds by the sub-grantee, the amount of the interest **must be refunded** to the Arizona State Library, Archives and Public Records, and subsequently returned to IMLS in Washington.

## Budget Revisions and Programmatic Changes

Subgrantees must not deviate from the approved budget and approved plan for carrying out the grant project as contained in the approved grant application unless prior approval is obtained from the Grants Consultant or the Library Development Director. Similarly, subgrantees must request prior approval of significant departures from approved project plans, including changes in the scope of the project, changes in project objectives, and changes in the project manager or other key project personnel. Both types of requests must be made in writing to the Library Development Grants Consultant, Janet "Jaime" Ball at [jball@azlibrary.gov](mailto:jball@azlibrary.gov).

## Project Numbers

A grant number will be assigned to all LSTA 2015 funded projects and should be available at the Grants Recipients Workshop. The Catalog of Federal Domestic Assistance (CFDA) number is 45.310.

# Grant Administration Guidelines

## Requirements for Publications and Presentations

All promotion materials, press releases, bibliographies, reports and other such publications resulting from an LSTA grant project must contain the following acknowledgment:

**This project is supported by the Arizona State Library, Archives & Public Records, a division of the Secretary of State, with federal funds from the Institute of Museum and Library Services.**

If the grant project results in copyrightable material, the subgrantee or any subcontractor of the subgrantee is free to copyright the work. However, IMLS and the State Library reserve a royalty-free, exclusive and irrevocable license to reproduce, publish, or otherwise use and authorize others to use the work for government purposes.

## Inventory Requirements

Grantees must submit and maintain inventory records of all non-expendable personal property, defined as items having a useful life of more than one year and a unit acquisition cost of \$5,000 or more. Inventories of all such property may be conducted to verify the existence, current utilization, and continued need for the property. Disposition of such property shall be in accordance with the disposition requirements of the State Library.

## Grant Close Out Procedures

All funds must be encumbered/obligated by the last day of the grant period (August 1, 2016). All payments using LSTA funds must be completed before the final report is submitted, September 2, 2016. Should it not be possible to expend and/or obligate the funds prior to the end of the grant period, the State Library is to be notified **at least 30 days in advance** so arrangements can be made to return the funds to the State Library. If received by the State Library before the last month of the grant period, these funds can be reprogrammed into other Arizona projects; otherwise, reverted funds must be sent back to IMLS.

## Record Retention Requirements

Taken from OMB Circular A-110 Section\_\_\_\_.53.

(b) Financial records, supporting documents, statistical records, and all other records pertinent to an award shall be retained for a period of **three years** from the date of submission of the final expenditure report or, for awards that are renewed quarterly or annually, from the date of the submission of the quarterly or annual financial report, as authorized by the Federal awarding agency. The only exceptions are the following.

- (1) If any litigation, claim, or audit is started before the expiration of the 3-year period, the records shall be retained until all litigation, claims or audit findings involving the records have been resolved and final action taken.
- (2) Records for real property and equipment acquired with Federal funds shall be retained for 3 years after final disposition.
- (3) When records are transferred to or maintained by the Federal awarding agency, the 3-year retention requirement is not applicable to the recipient.
- (4) Indirect cost rate proposals, cost allocations plans, etc. as specified in Section\_\_\_\_.53(g).

## Complaint Process

Complaints or questions about the LSTA program received by State Library will be forwarded to the Library Development Grants Consultant, who will respond as appropriate either through a phone call, an email message or a formal letter. If the person making the complaint is not satisfied with the information provided by the Library Development Grants Consultant, the question or complaint will be sent to the State Librarian. The State Librarian will respond as is appropriate to the situation, and is the person of last resort for complaints.

# Grant Administration Guidelines

## Audit Requirements

All libraries that have received a total of \$300,000 or more from all federal grants in the federal fiscal year (October 1 – September 30), must submit an audit as required under the Single Audit Act of 1984.

Audits are required as follows under OMB Circular No. A-133 Subpart B— Audits §\_\_.200 Audit requirements.

## Grant Recipients Workshop

It is highly recommended that the project contact for each 2015 LSTA funded project attend the Grant Recipients Workshop at The Carnegie Center, 1101 W. Washington St., Phoenix on Wednesday, May 20, 2015 from 9AM to Noon. You will receive an overview of LSTA project management, training on data collection for the final report, and important information about budgets and project evaluation. This workshop also provides an excellent opportunity to meet Library Development staff and to network with other grant recipients. Be sure to include expenses for travel to this workshop in the grant budget, if needed.

## Data Collection

Every project involves activities that are performed in order to achieve a desired outcome. LSTA project managers are required to keep track of specific data, such as the number of programs offered, the number of attendees, the number of items acquired, the locations where activities were held, etc. A full explanation about activities and data collection will be provided at the Grant Recipients Workshop.

## Monitoring Project Progress

Arizona LSTA projects are part of a network of community-driven, exemplary work being accomplished in libraries across the country. To support these efforts and to ensure that projects are in compliance with LSTA and State Library requirements, the Grants Consultant will monitor projects during the grant year, usually by phone or email. In some cases, the Grants Consultant will want to meet with the project manager in person.

Prior to an in-person visit, the Grants Consultant or other Library Development staff will provide in advance a list of materials to be reviewed. The Consultants will also ask for highlights of activities that are going especially well, or that are especially challenging.

## Evaluation Plan

IMLS believes the two most important purposes of evaluation are (1) to provide essential information for good decisions about priorities, deployment of resources, and program design and (2) to help communicate the value of projects. An evaluation plan is required as part of the grant application, and reporting on project performance is a critical component of grant administration. Details and strategies for measuring the success of the project will be provided at the Grant Recipients Workshop.

## Reporting Requirements

Grant recipients will be required to submit a final financial and narrative performance report to the State Library within thirty days after the end of the project or no later than September 2, 2016 for FY 2015 competitive grants. The final report is completed online at [www.azlibrary.gov/libdev/funding/lsta](http://www.azlibrary.gov/libdev/funding/lsta). **Failure to file the report or library statistics on time will make your library ineligible to apply for future LSTA grants.**

The financial report will group expenditures into specific categories required by IMLS. As part of project management, you will track your expenses with those categories in mind. A full explanation about budget categories will be provided at the Grant Recipients' Workshop.

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### What You'll Find in this Document

- General Instructions
- Eligibility Policy
- Guidelines for Grant Categories
- Application Worksheet
- Grant Administration Guidelines



Photo on front cover of  
College Depot project,  
Phoenix Public Library

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# The Arizona State Library and 2015 LSTA Grants

The Arizona State Library, Archives, and Public Records, a division of the Arizona Secretary of State, offers libraries the opportunity to apply for 2015 grant funding. This funding is made possible through the Institute of Museum and Library Services (IMLS), Library Services and Technology Act (LSTA) Grants to State Library Administrative Agencies program.

In 2015, grants will be awarded in three areas:

- Learning
- Community
- Collections

## E-mail a State Library Consultant

Learning	Donna Throckmorton	<a href="mailto:dthrockmorton@azlibrary.gov">dthrockmorton@azlibrary.gov</a>
Community	Dale Savage	<a href="mailto:dsavage@azlibrary.gov">dsavage@azlibrary.gov</a>
Collections	Mary Villegas	<a href="mailto:mvillegas@azlibrary.gov">mvillegas@azlibrary.gov</a>
General	Janet "Jaime" Ball	<a href="mailto:jbball@azlibrary.gov">jbball@azlibrary.gov</a>
General	Holly Henley	<a href="mailto:hhenley@azlibrary.gov">hhenley@azlibrary.gov</a>

## Find Us on the Web

[www.azlibrary.gov](http://www.azlibrary.gov) Arizona State Library  
[www.azlibrary.gov/libdev](http://www.azlibrary.gov/libdev) Library Development  
[www.azlibrary.gov/libdev/funding/lsta](http://www.azlibrary.gov/libdev/funding/lsta) LSTA in Arizona

**Phone Us: 602-926-3604**

## Learn About LSTA Grants

Register for workshops at:  
<http://apps.azlibrary.gov/eventreg/>

Jan. 7 – Carnegie Center, Phoenix  
Jan. 9 – Webinar  
Jan. 12 – Carnegie Center, Phoenix  
Jan. 14 – Tucson  
Jan. 15 – Webinar  
Jan. 16 – Flagstaff